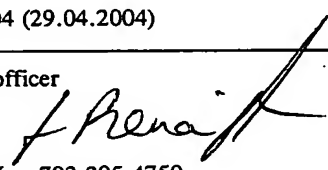


# PCT

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference 9432-181/POA		<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/US03/09881	International filing date (day/month/year) 31 March 2003 (31.03.2003)	Priority date (day/month/year) 05 April 2002 (05.04.2002)	
International Patent Classification (IPC) or national classification and IPC IPC(7): H04J 15/00 and US Cl.: 370/463			
Applicant MATSUSHITA ELECTRIC INDUSTRIAL CO., LTD.			
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 5 sheets, including this cover sheet.</p> <p><input checked="" type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of 6 sheets.</p>			
<p>3. This report contains indications relating to the following items:</p> <p>I <input checked="" type="checkbox"/> Basis of the report</p> <p>II <input type="checkbox"/> Priority</p> <p>III <input type="checkbox"/> Non-establishment of report with regard to novelty, inventive step and industrial applicability</p> <p>IV <input type="checkbox"/> Lack of unity of invention</p> <p>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</p> <p>VI <input type="checkbox"/> Certain documents cited</p> <p>VII <input type="checkbox"/> Certain defects in the international application</p> <p>VIII <input type="checkbox"/> Certain observations on the international application</p>			
Date of submission of the demand 31 October 2003 (31.10.2003)		Date of completion of this report 29 April 2004 (29.04.2004)	
Name and mailing address of the IPEA/US Mail Stop PCT, Attn: IPEA/US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (703)305-3230		Authorized officer Huy D Vu  Telephone No. 703.305.4750	

Form PCT/IPEA/409 (cover sheet)(July 1998)

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**V. Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. STATEMENT**

Novelty (N)	Claims <u>8-10,15,29-31,43,44,47</u>	YES
	Claims <u>1-7,11-14,16-28,32-42,45,46</u>	NO
Inventive Step (IS)	Claims <u>NONE</u>	YES
	Claims <u>1-47</u>	NO
Industrial Applicability (IA)	Claims <u>1-47</u>	YES
	Claims <u>NONE</u>	NO

**2. CITATIONS AND EXPLANATIONS**

Please See Continuation Sheet

**I. Basis of the report****1. With regard to the elements of the international application:\***

- ☐ the international application as originally filed.
- ☒ the description:  
pages 1-9 \_\_\_\_\_ as originally filed  
pages NONE \_\_\_\_\_, filed with the demand  
pages NONE \_\_\_\_\_, filed with the letter of \_\_\_\_\_
- ☒ the claims:  
pages NONE \_\_\_\_\_, as originally filed  
pages NONE \_\_\_\_\_, as amended (together with any statement) under Article 19  
pages NONE \_\_\_\_\_, filed with the demand  
pages 10-14A \_\_\_\_\_, filed with the letter of 30 March 2004 (30.03.2004)
- ☒ the drawings:  
pages 1-8 \_\_\_\_\_, as originally filed  
pages NONE \_\_\_\_\_, filed with the demand  
pages NONE \_\_\_\_\_, filed with the letter of \_\_\_\_\_
- ☐ the sequence listing part of the description:  
pages NONE \_\_\_\_\_, as originally filed  
pages NONE \_\_\_\_\_, filed with the demand  
pages NONE \_\_\_\_\_, filed with the letter of \_\_\_\_\_

**2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.**

These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

- ☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).

**3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:**

- ☐ contained in the international application in printed form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

**4. ☐ The amendments have resulted in the cancellation of:**

- ☐ the description, pages NONE
- ☐ the claims, Nos. NONE
- ☐ the drawings, sheets/fig NONE

**5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\***

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

**Supplemental Box**

(To be used when the space in any of the preceding boxes is not sufficient)

**V. 2. Citations and Explanations:**

Claims 1-7, 11-14, 16-28, 32-42, 45 and 46 lack novelty under PCT Article 33(2) as being anticipated by KUNKEL et al (US 5961603).

Regarding claims 1, 11, 22, 32, 36, 42, 45 and 46, Kunkel teaches a portal system employing a handheld media delivery device comprising: an input (e.g., via keyboard, mouse, remote, see col. 4, lines 11-22 and FIG. 1) adapted to receive a request for additional media content (e.g., see col. 4, lines 30-58 regarding requests for more detailed information associated with the broadcast) from the handheld media delivery device (e.g., remote control device 23), wherein the handheld media delivery device (e.g., 23) is adapted to receive broadcast media content having media content information (e.g., broadcast video programming having ID tags referencing hyperlink information, see col. 5, lines 26-43 and lines 57-64), adapted to formulate the request based on the media content information (e.g., see col. 8, lines 44-46 regarding hyperlinking commands), adapted to communicate the request for additional media content to the portal system (e.g., communicating to the headend, see col. 8, lines 46-58), adapted to receive the additional media content from the portal system (e.g., via headend 14 coupled to network 18 and terminals 20, see col. 6, lines 33-56 regarding processor 54 in headend 14 for sending and receiving requests), and adapted to deliver the additional media content to a consumer (e.g., via HTML data); a retrieval mechanism (e.g., communications controller 70, see col. 13, lines 4-8) adapted to retrieve additional media content based on the request; and an output (e.g., output coupling server 50 to network 16, see FIG. 2) adapted to communicate the additional media content to the handheld media delivery device, thereby supplementing the media content. Furthermore, the additional limitation of the system of claims 1, 11, 22, 32 and 42 having local queuing lacks novelty.

Regarding claims 2, 18, 23 and 39, Kunkel teaches a request parser (e.g., duplex filter 86, see col. 7, lines 56-66) is adapted to parse the request.

Regarding claims 3, 12, 24 and 33, Kunkel teaches the output is adapted to acknowledge the request by sending an acknowledgement to the handheld media delivery device (e.g., see col. 9, lines 49-59).

Regarding claims 4, 5, 16, 17, 25, 26, 37 and 38, Kunkel teaches a data packetizer is adapted to packetize the media content (e.g., see col. 9, lines 34-48 regarding downstream packet, which is inherently packetized by a packetizer).

Regarding claims 6 and 27, Kunkel teaches the retrieval mechanism is adapted to retrieve the additional media content from local server memory (e.g., local server memory 44/46).

Regarding claims 7 and 28, Kunkel teaches the retrieval mechanism is adapted to retrieve the additional media content from a remote location via a communication system (e.g., remote database 42).

Regarding claims 13, 14, 19, 20, 34, 35, 40 and 41, Kunkel further teaches a request status manager is adapted to update the status of a request based upon an acknowledgement and the user interface is able to communicate the status of the request to the consumer (e.g., see col. 9, line 35 - col. 10, line 36 regarding communications controller 70 and housekeeping payloads).

Regarding claim 21, Kunkel teaches determining whether a connection to the system is available, queue requests locally, and store requests until a connection is available (e.g., see col. 11, line 51 - col. 12, line 62).

**Supplemental Box**

(To be used when the space in any of the preceding boxes is not sufficient)

Claims 8-10, 29-31, 43, 44 and 47 lack an inventive step under PCT Article 33(3) as being obvious over KUNKEL in view of FREEMAN et al (US 2001/0013123 A1).

Regarding claims 8 and 29, Kunkel teaches the system discussed above regarding claims 1 and 27, however, may not specifically disclose a user profile manager for updating user profiles. However, Freeman also teaches a media delivery device and further teaches a user profile manager (e.g., see user information database 136 in FIG. 1a) is adapted to update a user profile based on a request (e.g., see paragraphs 0009-0010). The teachings of Freeman provide improved compatibility between advertisements and user preferences for media viewing (e.g., see paragraph 0008). Thus, at the time of the invention one of ordinary skill in the art would be motivated to apply the teachings of Freeman to the system of Kunkel in order to provide improved compatibility between advertisements and user preferences for media viewing.

Regarding claims 9, 15 and 30, Freeman teaches a back channel (e.g., see paragraph 0014 regarding backchannel communication link) is adapted to communicate the user profile to a media content provider (e.g., transmission center 102). As discussed above, the teachings of Freeman provide improved compatibility between advertisements and user preferences for media viewing (e.g., see paragraph 0008). Thus, at the time of the invention one of ordinary skill in the art would be motivated to apply the teachings of Freeman to the system of Kunkel in order to provide improved compatibility between advertisements and user preferences for media viewing.

Regarding claims 10 and 31, Freeman teaches an input (e.g., 148) is adapted to receive a request based on media content information targeted to the user profile. As discussed above, the teachings of Freeman provide improved compatibility between advertisements and user preferences for media viewing (e.g., see paragraph 0008). Thus, at the time of the invention one of ordinary skill in the art would be motivated to apply the teachings of Freeman to the system of Kunkel in order to provide improved compatibility between advertisements and user preferences for media viewing.

Regarding claims 43, 44 and 47, Freeman further teaches information is an electronic coupon (e.g., see paragraph 0018, wherein advertisements via Internet and PDA related media implicitly encompass electronic coupons), extra advertising information (e.g., see paragraph 0016 regarding customized advertisements), or is stored in a portable device for review by the consumer after advertising information has been disseminated (e.g., see paragraph 0018 regarding storage in a PDA). As discussed above, the teachings of Freeman provide improved compatibility between advertisements and user preferences for media viewing (e.g., see paragraph 0008). Thus, at the time of the invention one of ordinary skill in the art would be motivated to apply the teachings of Freeman to the system of Kunkel in order to provide improved compatibility between advertisements and user preferences for media viewing.

Claims 1-47 meet the criteria set out in PCT Article 33(4), and thus have industrial applicability because the subject matter claimed, specifically, a handheld media delivery device, can be made or used in industry.